

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Number	: 10/786,874	Confirmation No.:	3667
Applicant	: Haw-minn LU		
Filed	: February 24, 2004		
Title	: Systems and Methods for Upgradeable Scalable Switching		
TC/Art Unit	: 2619		
Examiner:	: Youg ZHOU		
Docket No.	: 013-UTL		
Customer No.	: 36,215		

REQUEST FOR CERTIFICATE OF CORRECTION UNDER 37 C.F.R §1.322

**Attention: Certificate of Corrections Branch**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Applicant respectfully request that a certificate of correction be issued to reflect a deleted inventor. The inventor "Alan Huang" was deleted during the prosecution of the application. This inventor should be deleted and the abbreviation "et al." should also be deleted from the title page as the deletion leaves only one inventor. Applicant believes the error was on the part of the Office as evidenced by the attached issue notification, bibliographic data sheet, and final corrected filing receipt, all three of which indicate the absence of Alan Huang.

Enclosed are:

- Copy of Issue Notification dated October 1, 2008
- Copy of the final Corrected Filing receipt dated September 19, 2008
- Copy of the Bibliographic Data Sheet dated September 22, 2008 in PAIR
- SB0044 Form

As it is believed that the error was on the part of the Office, no fee is believed due, however in the event a fee is due, please contact the Applicant immediately at the contact information below so that the deficiency can be corrected as soon as possible.

Respectfully submitted,

January 25, 2009

By: /Haw-minn Lu/  
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# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
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APPLICATION NO.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/786,874	10/21/2008	7440448	013-UTL	3667

36215 7590 10/01/2008  
HAW-MINN LU  
10733 CALSTON WAY  
SAN DIEGO, CA 92126

## ISSUE NOTIFICATION

The projected patent number and issue date are specified above.

### **Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)** (application filed on or after May 29, 2000)

The Patent Term Adjustment is 811 day(s). Any patent to issue from the above-identified application will include an indication of the adjustment on the front page.

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at (571)-272-4200.

APPLICANT(s) (Please see PAIR WEB site <http://pair.uspto.gov> for additional applicants):

Haw-Minn Lu, San Diego, CA;



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APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLAIMS	IND CLAIMS
10/786,874	02/24/2004	2619	410	013-UTL	18	3

CONFIRMATION NO. 3667

CORRECTED FILING RECEIPT

36215  
HAW-MINN LU  
10733 CALSTON WAY  
SAN DIEGO, CA 92126



Date Mailed: 09/19/2008

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections**

**Applicant(s)**

Haw-Minn Lu, San Diego, CA;

**Power of Attorney:** None

**Domestic Priority data as claimed by applicant**

This appln claims benefit of 60/450,133 02/25/2003  
and is a CIP of 09/897,263 07/02/2001 PAT 6,901,071  
and is a CIP of 10/074,174 02/10/2002 PAT 7,123,612  
and is a CIP of 10/075,086 02/10/2002 PAT 7,075,942

**Foreign Applications**

**If Required, Foreign Filing License Granted:** 05/17/2004

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 10/786,874**

**Projected Publication Date:** Request for Non-Publication Acknowledged

**Non-Publication Request:** Yes

**Early Publication Request:** No

**\*\* SMALL ENTITY \*\***

**Title**

SYSTEMS AND METHODS FOR UPGRADEABLE SCALABLE SWITCHING

**Preliminary Class**

370

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

**LICENSE FOR FOREIGN FILING UNDER****Title 35, United States Code, Section 184****Title 37, Code of Federal Regulations, 5.11 & 5.15****GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as

set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

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#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



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Bib Data Sheet

CONFIRMATION NO. 3667

<b>SERIAL NUMBER</b> 10/786,874	<b>FILING OR 371(c) DATE</b> 02/24/2004 <b>RULE</b>	<b>CLASS</b> 370	<b>GROUP ART UNIT</b> 2619	<b>ATTORNEY DOCKET NO.</b> 013-UTL
<b>APPLICANTS</b> Haw-Minn Lu, San Diego, CA;				
<b>** CONTINUING DATA *****</b> This appln claims benefit of 60/450,133 02/25/2003 and is a CIP of 09/897,263 07/02/2001 PAT 6,901,071 and is a CIP of 10/074,174 02/10/2002 PAT 7,123,612 and is a CIP of 10/075,086 02/10/2002 PAT 7,075,942				
<b>** FOREIGN APPLICATIONS *****</b>				
<b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED** SMALL ENTITY **</b> ** 05/17/2004				
Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after met Allowance Verified and Acknowledged _____ Examiner's Signature Initials		<b>STATE OR COUNTRY</b> CA	<b>SHEETS DRAWING</b> 191	<b>TOTAL CLAIMS</b> 18
<b>INDEPENDENT CLAIMS</b> 3				
<b>ADDRESS</b> 36215				
<b>TITLE</b> SYSTEMS AND METHODS FOR UPGRADEABLE SCALABLE SWITCHING				
<b>FILING FEE RECEIVED</b> 410	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit	

## UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

Page 1 of 1

PATENT NO. : 7,440,448

APPLICATION NO.: 10/786,874

ISSUE DATE : October 21, 2008

INVENTOR(S) : Lu

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

Title page,

Item [12], delete "et al."

Item [76], delete "; Alan Huang, 682 Sixteenth Ave., Menlo Park, CA (US) 94025"

### MAILING ADDRESS OF SENDER (Please do not use customer number below):

Haw-minn Lu  
10733 Calston Way  
San Diego, CA 92126

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*